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66202 U.S. PTO



DOCKET NO.: ISIS-2202

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:

Phillip Dan Cook

For: NUCLEOBASE HETEROCYCLIC COMBINATORIALIZATION

"Express Mail" Label No. EM347379641US

Date of Deposit - June 30, 1997

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

By [Signature]
Typed Name: Bob Inforzato

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington DC 20231

Sir:

PATENT APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find the following:

- (XX) The specification of the above-referenced patent application.
- () _____ sheet(s) of () formal/() informal drawing(s) or photographs.
- (XX) An () executed/(XX) unexecuted Declaration or Oath and Power of Attorney.
- () An Assignment of the invention to _____.
- () Copy of Assignment(s) for the parent application and separate Form(s) 1595 for each Assignment will be submitted upon receipt of the Official Filing Receipt.
- () A certified copy of a _____ application.
- () An Associate Power of Attorney.
- (XX) An unexecuted Verified Statement Claiming Small Entity Status under 37 CFR 1.9 and 1.27.

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- () Statement to Support Filing and Submission of DNA/Amino Acid Sequences in Accordance with 37 CFR §§ 1.821 through 1.825.
- () Petition to Accept Photograph(s) as Drawing(s).
- () Other (specify): _____.

The filing fee has been calculated as shown below:

			SMALL ENTITY			OTHER THAN SMALL ENTITY	
For:	No. Filed	No. Extra	Rate	Fee	OR	Rate	Fee
BASIC FEE				\$385	OR		\$770
Total Claims	30 - 20 =	10	x \$11=	\$110	OR	x \$22=	\$
Indep. Claims	3 - 3 =	0	x \$40=	\$0	OR	x \$80=	\$
First Presentation Multiple Dependent Claims			+\$130=	\$0	OR	+\$260=	\$
TOTAL				\$495			\$

- () Please charge my Deposit Account No. 23-3050 in the amount of \$____. This sheet is attached in triplicate.
- (XX) Checks in the amount of \$ 75.00 & 425.00 are attached. Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.
- (XX) The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-3050. This sheet is attached in triplicate.
- (XX) Any additional filing fees required under 37 CFR 1.16 including fees for presentation of extra claims.
- (XX) Any additional patent application processing fees under 37 CFR 1.17 and under 37 CFR 1.20(d).
- (XX) The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-3050. This sheet is attached in triplicate.

- THE UNIVERSITY OF CHICAGO**

Signature
John W. Caldwell
Registration No. 28,937

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THE UNIVERSITY OF CHICAGO

Attorney's Docket No.: ISIS-2202

For: NUCLEOBASE HETEROCYCLIC COMBINATORIALIZATION

I hereby declare that I am:

- NAME OF CONCERN: ISIS Pharmaceuticals, Inc.
ADDRESS OF CONCERN: 2280 Faraday Avenue
Carlsbad, CA 92008

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that: (1) the number of employees of the concern, including those of its affiliates, does not exceed 500 persons; and (2) the concern has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

(X) specification filed herewith.

() application serial no. _____, filed _____.

() patent no. _____, issued _____.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required for each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME:

ADDRESS:

() INDIVIDUAL () SMALL BUSINESS CONCERN () NONPROFIT ORGANIZATION

FULL NAME:

ADDRESS:

() INDIVIDUAL () SMALL BUSINESS CONCERN () NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING
TITLE OF PERSON SIGNING
ADDRESS OF PERSON SIGNING

B. Lynne Parshall, Esq.
Executive Vice President
2280 Faraday Avenue
Carlsbad, CA 92008

SIGNATURE

DATE